MSFC ISO PRE-ASSESSMENT AUDIT SCRIBE NOTES - Oct 97'

THIS AUDITOR'S MAIN FOCUS WAS ON ISO ELEMENTS: *

2 - QUALITY SYSTEM
3 - CONTRACT REVIEW
5 - DOCUMENT AND DATA CONTROL
6 - PURCHASING

* Other generic issues were discussed as appropriate during the audit, (i.e., quality records, training, Quality Policy, etc.)

Date: October 21, 1997 - A.M.
Auditor: Auditor #4
Auditee: Purchasing

Q. How long have you worked with ISO?
A. One yr

Q. How long in your present position ?
A. 3 yrs.

Q. What is MSFC`S qual policy ?
A. To provide quality products and services to our customers

Q. Do you procure software?
A. This is done by our support contractor Lockheed-Matrin

Q. Will all lab procurement be pulled into purchasing?
A. We will teach labs how to do procurement instead of acting as an intermediary.

Q. Do you keep track of qual. records and retention time?

A. Yes as per OWI-13 and MSP`S.

Q. How many contracting officers do you have?
A. 35 people in this division,with people having different levels of buying power.

Q. Can a purchase order be cut by hand?
A. Yes if no more than $2500.

Q. How many cotr`s do you have?
A. Every contract has a cotr and we have a list of all trained personnel.

Q. How do you interface with Qual. Org.?
A. Requirements for purchasing are derived by end user and it is approved by Qual.

Q. How do Qual. Records get to purchasing?
A. Inspection group sends data to purchasing and if something is wrong purchasing works directly with vendor for correction of anomaly.

Q. What expertise do you have to prove that contractor can accomplish his assigned task?
A. Evidence from previous experience he is certified to do such tasks, and we survey small businesses to insure their capacity to accomplish such tasks

Q. Who is your ISO Management representative?
A. Bob Schwinghamer

ROOM 204B, BLDG. 4200

Q. How long have you been in your present position?
A. I have been team lead since   Sept. `96and support the following labs ED,EL &EB.

Q. What is MSFC`S Qual. Policy?
A.To provide quality products and services to our customers.

Q.How do you do the above?
A. By working with specs.and vendors to insure that all contractual requirements are adhered to.

Q. Do you work with approved vendor lists?
A. No. Synopsis.

Q. I notice that you rely rely solely on your computer. What do you do when your system is down?
A. Use hard copies.

Q. How often is your system updated?
A. Unknown.

Q. What is procedure to use approved vendor.
A. Do a synopsis on all vendors.

Q. How would someone do your job if the occasion demanded?
A.There is an QWI that gives specific instructions.

Q. show relationship between hard copy and electric QWI?
A. This was done.

Q. What kind of records do you keep?
A. Contract file ,list of products to be bought , and all records pertaining to the contracts that I service.

Q. Are you familiar with CO6?
A. Yes- change orders.

Q. What info. do you need on a purchase order?
A. Money, approvals, specs., line items, qual reqmts & ect.

4.6 - Purchasing

Q.   What is the QA policy?
A.   Provide quality services to our customers.

Q.   Do you have procedures to follow?
A   I get them from my supervisor.

Q.   What is BOA?
A   It's basic ordering agreement.

Q.   What is your job?
A.   Review contracts per specifications.

Q.   How do you determine all requirements are met?
A.   By statement of work and experience.

Q.   Do you have a checklist?
A.   Yes.

Q.   What do you look at on a PR?
A.   Date, time through system, code who initiated it, QA sensitive, purpose, statement
     of work.

Q.   How long do you keep these records?
A.   Per OWI-1 year. Looked up requirements on computer.

Q.   What would you do if computer went down?
A.   I know the person who maintains hard copy of procedure.

Q. Could you show me an approved vendor's list?
A. Yes.

Q. How do you get on the debarred list?
A. I've never been involved in that process.

Q. (Asked again) How do you get on the debarred list?
A. My technical person would take that responsibility.

Q. How do you follow the QA plan?
A. We issue a QA in contract.

Q. Tell me the process.
A. Project office will give us requirements, will look at funds, time element, look at the approved vendor's list.

Q. Do you verify BOA as acceptable?
A. Review pre-determined list.

Q. Do you get feedback that vendor does not meet requirements?
A. Yes, this is a new program. (approved list was shown)

Q. Do you get problems back in forms? (memos, etc.)
A. Not yet.

Q. Do you have a procedure to address past performance of vendors?
A. No.

Q. Do you have a procedure?
A. Yes, on the computer. (could not find it on the computer)

Q. Do you get involved in quality procedures or documents?
A. No.

Q.   Do you have a procedure to fulfill the QA document?
A.   1040A

Q.   Can I look at a paper build?
A.   Reviewed PR-W7E75478

Q.   What do you do as far as purchase survey?
A.   A team will survey per specification NHB 4300.

Q.   What is your job?
A.   QA specialist.

Q.   Do you have a procedure to do surveys?
A.   We will receive a letter from procurement.

Q.   Do you have a checklist?
A.   Yes. (showed an old checklist, new checklist is in draft)

Q.   Can I see new draft?
A.   New draft was on computer, found, and shown to the auditor.

Q.   Do you keep findings on BOA's?
A.   Yes. In letter form to the contracting officer.

Q.   How long do you keep these letters?
A.   30 days.

Q.   Can I look at new list of approved vendors?
A.   He did not have a new list.

Q.   If quality of vendor was subpar how would you know?
A.   A completed evaluation performance of contract.

Q.   Can I see procedure of this process?

A.   We do not have one in process at this time.

Q.   How do you evaluate contractor's?
A.   A team will evaluate from QA and technical per survey checklist.

Q.   Who in QA handles this for you?
A.   ?????

Q.   How long do you keep paperwork?
A.   Listed different times for the contract.

Q.   Is this in your procedure?
A.   No, we are in the process of update.

Q.   Can you relate contract to drawing?
A.   Yes. (Drawing was produced, no revision level on drawing or approved)

Q.   How many contractors on debarred list?
A.   3 awaiting closure.

Q.   Do you have corrective action system?
A.   No.

Q.   Do you look at flight hardware?
A.   Yes. (Design, project engineering, fracture control plan, and QA plan)

Q.   What is the requirement for quality sensitive hardware?
A.   Vic is working on it.

Q.   What kind of records do you keep?
A.   QA plan for project.

Q.   How do you know your documents are up to date?
A.   They are not up to date, they are in draft.

Q. Do you look at revision of drawings?
A. Yes - drawing reviewed.

Q. Do you get involved in contract procurement?
A. Yes. (procurement, technical, and evaluation)

Q. How do you define control of the contract?
A. Contract type, performance based.

Q. Who is responsible for contract records?
A. The contractor.

Q. Are you the contracting officer with final authority?
A. Yes.

Q. Do you use the QA group?
A. Yes.

Q. Do you get involved with problems of the contract?
A. Yes, we have a site monitor and performance is determined by award fee.

Q. Do you issue corrective action?
A. Yes.

Date: October 22, 1997 - A.M.
Auditor: Auditor #4
?????: sanitized, replaced an individual's name

Auditee:GP54B
Location: Bldg 4201

N: Do you maintain data for AXAF?

A: Yes I maintain a lot.

N: How long have you been doing this?
A: Since 1986.

N: Can you tell me what the MSFC quality policy is?
A: To provide quality products and services to our customer.

N: How do you provide quality products and services in your job?
A: By supporting services, negotiating contracts, making sure product conform to requirements.

N: Who is the MSFC quality management representative?
A: Bob Schwinghammer.

N: How is the process for procuring suppliers documented?
A: Look at contract first.

N: Something that hits dock……..
A: Relate to myself. We do have some deliverables. Would see ISR report. Haven't seen that many over the years. Corrective Action response for from contractor. DAR - Discrepancy Action Report. Minor requirement can be waived. None on this project.

N: What you do for project….
A: Procurement Support.

N: Do you have any quality records?
A: Most of them.

N: What are your requirements for keeping records?
A: Keep to contract till contract physically complete or product delivered. Administrative Complete that is. Still have overhead rates. Disposal. Reports. Long time after physically complete. There is an OWI that sets close date.

N: Do you have a documented procedure on how these records are maintained?

A: Yes there is an OWI.

N: Show me.
A: (Looking on computer) I don't know.

N: I'm looking for a specific instruction of storing and maintaining quality records.
A: Couldn't find.

N: Show evidence of how performance data is reviewed and how award fee is based on past performance records. This is an award fee contract? Do you have past performance records?
A: I haven't maintained past performance records. (Pulled out an award fee record)

N: (Looking through award fee record) Have you changed process as far as how award fee is based since 1990?
A: Contract changes yes.

N: May I see requirements for how past performance records are used to establish award fees? Do have past performance database?
A: Now, but not 3 months back. 2 or 3 years we kept past performance records. I have those. I know I have this. May take a while to dig it out.

N: We are here for a couple of days. If you find it get it to me.
A: Here is one we do todays contractor metrics.

N: Thats why we came over. ????? said he wasn't sure. He said come and talk to your…

Auditee: CR80
Location: Bldg 4203/6th floor

N: How long have you been in Quality?
A: Since 1980

N: Do you like it?
A: Yes

N: Can you tell me what the MSFC Quality policy is?
A: Have to look it up on the web.

N: Tell me in your own words.
A: Have to look it up.

N: What do you do?
A: I'm the quality engineer for Payload Ascent Office, ISS, Low Cost Booster, Nodes 2 & 3 ISS, Bantam Booster. I've written 2 Level 2 procedures, 6 CWI's and a quality policy book that I have here on computer.

N: Are standard manuals in as good a shape?
A: MSFC maintains or controls release of document. 2348. All these MIL STD's in contracts.

N: Are these controlled?
A: MSFC Maintains or contractor. CWI's used to be MMI's.

N: How do you get official notification?
A: I know I have a set.

N: Anybody controlling those? Who gave you standards in first place?
A: Standards controlled under contract. I keep this and this for active contract. I wrote CWI for external purchasing audits.

N: Has it been implemented?
A: The procedure for corrective action has been documented. It was a system that was never used.

N: You have a corrective action response form documented but not used?
A: In house we haven't felt the need for it when you are only building one unit of something.

N: I saw a case where there was a drawing that had a rev 5 on it and they were only building one. What activity do you have with purchasing?
A: This is worked out with the project manager and chief engineers office. Requirements have to be itemized as critical then we audit. Fastners are audited to a standard.

N: Do you maintain those records?
A: I have maintained. Database is not setup. Purchasing keeps if involved. Fastener manufacturers volunteer for survey up front of any purchase. We keep a listing. New system will require this.

N: Can I see file?
A: These are what I am involved with. (Displaying a Survey Finding Record of Ameritech)

N: Is this the right form?
A: I've changed to ISO requirements. They just approved P06.1 - CO7 yesterday. We've separated external from internal. (Looking on PC & is is approved).

N: You write finding and what you expect for closure?
A: Yes. This is done to save time and meet schedule. We needed this company. We try to make it a team effort.

N: Do you specify quality procurement requirements?
A: Yes.

N: Show me.
A: Same general database as in our procedure. (Looked on PC)

N: What do you do to make sure quality requirements stay with purchase?
A: Now electronic. Put Quality requirements with purchase. Printout sign and send.

N: Lets look at one that actually had an inspection on it. How can we verify that what you require was put on that PR? Lead us to this.
A: If the PR is marked quality sensitive then they come to me and I attach a quality requirement to it and send it on which I've done here. (Sighting on the form being looked at) Here's one for 1996. DCN # 60076/77 Shipping should have the 57 for this. ????? signs off.

N: Who is in charge of data requirements for Quality?
A: ?????

N: External Document Control?
A: CM EL Office.

N: Web too?
A: Yes

Auditee: MSI
Location: Bldg 4471/Receiving

N: Can you tell me what the MSFC quality policy is?
A: No

N: Do you know who your ISO-9000 management representative is?
A: Yes   When stock comes in it is sent to ?????.

Auditee: MSI
Location: Bldg 4471/Receiving

N: Can you tell me what MSFC's quality policy is?
A: No

N: Do you know who your quality management representative is?
A: No

N: Show me your records.
A: This is sent back to ?????.

N: How long do you keep these files?
A: Until physically complete plus 3 years.

N: What does the procedure say?
A: Procedure says plus 2 years but I get asked about suff further out than that. Would you like to see one that was rejected? (Pulling a log book out and pulling related Inspection and Rejection Report (I&AR) up) They don't train new people properly on the NASA side. We have to fight with NASA about this. Contractors have no ground to stand on.

N: Corrective actions are poorly done (looking at example where qual sensitive had been changed to allow purchase). No disposition on I & AR's.
A: Several people have moved through NASA position I have to interface with. There's been ????? ~~~, then ?????, and now ?????. I wish people knew the procedure.

Auditee: ?????
Location: Bldg 4471/Property Management

N: Can you tell me what the MSFC quality policy is?
A: Yes. It is we will provide quality services and products to our customer.

N: Do you know who the MSFC Quality Management Representative is?
A: Yes. Bob Schwinghammer.

N: We were told that you could help us track down a DCN.
A: I'm afraid you have the wrong person. We have contractors that do all of that for us.

Auditee: ?????/MSI
Location: 4471/Shipping

N: What do you do here?
A: Customer support office.

N: How do you know your procedures are upto date?
A: Paper and desktop computer. (Pulling out a paper copy currently in use)

N: How up to date is this? It says Rev 1976 here. Is this online?
A: Its not changed often.

N: (Looking at Internal Procedures Index on paper) This is probably not kept current. When you perceive a problem with the process who do you call with a process problem?
A: Contract supervision then ?????.

N: How long have you been doing this?
A: 10 years. I've been here 20. Worked for different companies through the years.

N: Have you had any ISO training?
A: Basic supervisor overview. More training needs to follow.

N: Was it effective? Does anybody here operate a fork lift?
A: Yes

N: Who has record?
A: ?????

Auditee: ?????/EL33
Location: Bldg 4203/4th Floor

N: Describe your job.
A: I take information for Office of Primary Responsibility (OPR's) and put it on the WEB.

N: What is your procedure for this?
A: In Draft. 5.1 CO5

N: How do you assure that you have authorization?
A: OPR's make the inputs.

N: Are there backups to these?
A: No

N: Where would you go if you couldn't get approval from one of these?
A: Organizational Manager

N: Who's your back up?
A: There is none.

N: Are you the only one that can write to this?
A: Yes.   The OPR mails the document to me and ????? reviews them for format, general review and administration things.

N: Are there any hardcopies made?
A: No. I maintain.

N: Do you have any procedures that tell you how to restore your info?
A: Don't have that. There is a new server coming online with hot swap tape and its currently being smoke tested.

N: With your procedure in DRAFT it is hard to audit to. I want to see how you identify something is OBSOLETE. What about outside standards documents.
A: No procedure to talk obsolete.

N: When will DRAFT of procedure you follow be signed?
A: This week. EL keeps drafts and drawings.

N: Tell the MSFC quality policy and management representative.
A: To provide quality products and services to our customers and Bob Schwinghammer.

N: Whats your involvement with ?????
A: OPR of documents. ????? in 4494 has documents. Master List Custodian is ?????.

Auditee: Master List Custodian
Location: Bldg 4203/4th floor

N: What do you do?
A: Write procedures and policy documents for CM.

N: 4.5 Do you maintain masters that you create?
A: No. P04.2 Just finished. Documents and Drawings through release desks.

N: Is there a procedure for how to write a procedure?
A: I don't know.

N: How long you been here?
A: 30 years.

N: Have you always worked here?
A: No. I was a secretary before this.

N: Do you know the MSFC Quality policy?
A: To provide quality products and services to our customers.

N: How do you do that?
A: By writing the simplest procedure. I figure if I can read it and understand it that anybody out ought to be able to do the same and follow it.

N: Is there an OWI for reviewing and approving a procedure.
A: Used to….. Eng 555 which is an S & E document.

Date: October 22, 1997 - P.M.
Auditor: Auditor #4
?????: sanitized, replaced an individual's name

Area: Document Repository

Auditee #1

N: What is your title?
A1:   Engineer Document Specialist

N: Do you deal with engineering documents only?
A1:   In year's past when system was first created, yes. Now, there are all kinds.

N: How long have you been in this position?
A1: Took over this job from the tech monitor when he retired several year's ago.

N: Are their procedures for doing this job?
A1: Yes, but most of this job is done by a contractor.

N: Does the contractor work to MSFC procedures or their own?
A1: There are high-level MSFC procedures but they work to their own procedures.

N: Do you know the Quality Policy?
A1: I couldn't really tell you there policy.

N: Do you know the MSFC Quality Policy?
A1: I did at the internal audit, but I can't remember now.

N: Do you know the Quality Rep?
A1: Bob Schwinghamer.

N. Have you had ISO training?
A1: Yes, an overview that took less than a day.

N: Was it effective?
A1: Yes.

N: Do you deal with ISO procedures for this job?
A1: I have input, but not OPR for the documents.

N: When someone needs an engineering document, do they call you?
A1: Yes.

N: What type of documents do you maintain?
A1: All kinds: engineering drawings, EO's, part's lists, CCBD directives, MSFC specs
    and standards, etc.

N: Do documents arrive here for storage?
A1: Yes.

N: Do you maintain obsolete documents?
A1: We maintain a database of all documents, the owner of the document decides when it becomes obsolete and when it show be purged from the system.

N: Is there a procedure that describes how long to keep documents?
A1: Not spelled out for most documents. It is up to the owner of the document. There is NHB 1400.1, a retention schedule for some documents.

N: Do you keep a list of who has been sent documents?
A1: There are automatic distribution lists (DDRL) associated with documents.

N: When a document is not controlled, is it stamped?
A1: When it is distributed, it is at the current rev. It is not identified other than that.

N: Do you perform archival of documents?
A1: Long-term but not permanent.

N: What kinds of media do you handle?
A1: Mostly paper and microfiche in the past, we are changing over to electronic. When we get paper we film and/or scan the document as they come in.

N: When sent electronic media, how do you verify what it is?
A1: Currently there is a small amount of electronic media, we bring it up on the computer and then store it on optical disk.

N: Do you have procedures for indexing and storing?
A1: The contractor (Uwahali) has a functional description that is web-based.

N: Who wrote DDRL?
A1: early on it was done on punch cards, then mainframe, transferred by tape to DEC machine using the Oracle database. It has been in Oracle ever since.

N: Who is the keeper of the database?
A1:   The Contractor.

N: Is there a disaster recovery plan?
A1:   Yes, the contractor has one.

N: Does the contractor keep paper documents?
A1:   If required, and when tasked to do so, but there is limited space for paper.

N: Do you keep drawings for current production? What about obsolete documents?
A1:   Yes, but not obsolete documents.

N: Are obsolete documents stamped?
A1:   No, the owner has responsibility for determining status of drawing.

N: If you pull drawing up, can you look it up in a master list?
A1:   Should be able to.

N: Pick one.
A1:   picked MSFC drawing #10A96934 dtd '83 [not in index (older document)]

N: Has the system ever gone down?
A1:   Yes.

N: How long?
A1:   SUN 2000 system is on a UPS, but maintenance is done at the end of every day.

Auditee #2

N: What codes are those?
A2:   these codes represent different projects and such.

N: Is it ever updated?

A2:   Yes.

N: How important are these codes?
A2:   They are used to sort documents in the database.

N: Who maintain the list of codes?
A2:   I don't know. It was generated years ago.

N: Are they any good?
A2:   Yes.

N: How do you know?
A2:   The database responds when I use them.

Auditee #3

N: How long have you been at your job?
A3:   Since Jan 30.

N: Have you had any training?
A3:   Yes, learned while using the program.

N: When you have questions, what do you do?
A3:   I go to my leader.

Auditee #1

N: Why are there stacks of documents here?
A1:   This area doubles as a reading area for solicitations.

N: Do you have a specific place for obsolete documents?
A1:   I've seen some documents with stamps, would have to go to ?

N: When you get a cancellation notice (EO), how would you handle it?
A1:   Don't know.

N: Do you ever see EO's.
A1:   Yes, we keep them on microfiche.

N: How do you find a document on the master list of documents?
A1:   The database in the computer.

N: Selected document #PR-CE-3001 1 from shelf. Can you find this in the database?
A1:   found document.

N: Where does the database say it is stored?
A1:   In microfiche

N: Not paper?
A1:   No paper locations in database for this document.

N: What are these racks used for?
A1:   To hold MSFC and contractor documentation.

N: Data that you maintain?
A1:   Yes.

N: Does database show that a hardcopy exists?
A1:   No.

Auditee #4

N: What do you keep in these file cabinets?
A4:   MSFC documents.

N: Do you have a list of what is in these filing cabinets?
A4:   No, but can get a list. "List" changes daily.

N: Why?
A4:   MSFC drawings changes.

N: What document # is used to lookup what is in these filing cabinets?
A4:   16A number.

N: Do you look at this data?
A4:   No, only the index.

N: [looked at a document, found whiteout] What is the policy for the use of
         whiteout?
A4:   That [whiteout] was done at the release desk, not here. We don't make changes.

Auditee #1

N: Can you find [doc # ?]?
A1:   Yes. [found doc]

N: As hardcopy?
A1:   No. Once the document is scanned and put on the optical disk, the hardcopy
         version information is overwritten in the database.

N: Can you find an EO?
A1:   Yes. [found an old record] It is stored in the Aperture card Room. [See Aperture
         Card Room for the rest of this thread.]

N: Anything recent?
A1:   Yes. [96M70805EO dtd 5/19/97]

N: Does procedure say to do that?
A1:   Not sure.

Auditee #5

N: Give me an overview of what you do.
A5:   Distribution of drawings (contractor and MSFC), get documents from the release
         desk, store and maintain documents. All tasks done within 15 hours.

N: How do you keep up with the time requirement of 15 hours?
A5:   We use this form. [shows form]

N: Can you show me a DDRL list?
A5:   Found one.

N: How often is it updated?
A5:   Daily.

N: This one is dated last month. Why?
A5:   We try to update at least monthly.

N: Asked to check in the book for a distribution.
A5:   It is not in the book.

N: Why not?
A5:   When doing flight [?], the originators do just the document and print the distribution on the back of the document.

N: Should the distribution be in the book?
A5:   No. It is okay for the distribution to be on the back of the document.

N: Do they do that a lot?
A5:   Not a lot. I keep other files that I was lucky to have found the information.

N: Is the process written down?
A5:   I don't know. [looked and found a written process]

Auditee #1

N: How do you handle one-time requests?
A5:   Form 433. But some contractors have their own form.

Aperture Card Room

A1: Found the EO Aperture Card.

Auditee #6

N: How many people work here?
A6: 2.

N: How long have you worked here?
A6: 32 years.

N: Can you tell me what the quality policy is?
A6: There have been several.

N: What is it now?
A6: I don't know.

N: Have you had ISO 9000 training?
A6: No

N: So you know who the ISO management representative is?
A6: No.

N: Do you have procedures?
A6: Yes.

N: Where are they kept?
A6: In the manager's office.

N: Have you looked at them?
A6: Not in years.

Auditee #1

N: Do you keep external specs such as Mil specs?

A1:   We have a subscription service on CD ROM.

N: Are you distributors of these specs?
A1:   Only for this Center (MSFC).

N: Do you keep a list?
A1:   There is a master list on the CD ROM.

N: Do you keep a list of the customers that receive these specs?
A1:   Yes. We keep a list of the user sites and keep them updated.

N: Where is the list kept?
A1:   The contractor keeps the list.

Electronic Packaging

Auditee #7

N: How do you handle industry specs?
A7:   We have HIS. We review the specs and then call them out for use.

N: Pick a spec.
A7:   Picked mil-d-12468 [a cleanliness spec]

N: How do you handle printed specs? Do you distribute them?
A7:   We don't distribute them. Users can print the current version and take it with them.

N: [Found an ESD station] Is this used?
A7:   It is not used because it is not needed now. We may be getting another one that is certified.

N: [Found a scale] Does this scale need calibration?
A7:   No.

N: Look for this canceled document [NHB 5300-493k)].

A7:   Found it. It was stamped.

N: Who stamped this document?
A7:   I did.

N: Is there a procedure for the used of the stamp?
A7:   No.

N: Who keeps the master list of EEE parts?
A7:   It is on the net.

N: Is it a different server than the MSFC server that holds the Level1,2 and 3
        documents?
A7:   Yes.

N: Who controls the server?
A7:   Software folks (Auditee #8) in 4487 A wing EB Lab.

Auditee #8

N: How long in your position?
A8:   3-4 years.

N: What is the Quality Policy?
A8:   Knew it.

N: How do you do your job?
A8:   Follow procedures.

N: Wanted to see procedure for maintaining the web server system.
A8:   I'm not in the loop for the maintenance.

N: Who is the system admin?
A8:   Wing leaders.

N: What is the approval process for Level 4 documents?
A8:   We assume the owner of the document has gotten approval.

N: What about obsolete documents?
A8:   It is up to the owner.

N: Do you have a disaster recovery plan?
A8:   Yes. We have an OWI to do software backups.

N: Is it effective enough for someone other than yourself to do it?
A8:   Yes.

N: Is the backup done local or across the net?
A8:   Local.

N: Who handles restoration when it is needed?
A8:   The system admin.

N: Who is the ISO Management Representative?
A8:   Schwinghamer.

Auditee #7

N: Want to see process for handling obsolete docs.
A7:   It is on the net. (showed him in the War room)

Auditee #8

N: Did you have a process for building this system?
A8:   There is an OWI.

Auditee #7

N: Where does the OWI address obsolete documents specifically?
A7:   It doesn't.

Auditee #8

N: Who handles the passwords?
A8:   Auditee #8 and another person.

N: Show me how.
A8:   Showed.

N: Big discussion concerning control (reference ANSI 4.5.2) with A7 and A8.

N: Who is your back up.
A: ????? There is a document control board for procedures. I'm getting ready to retire in January 1998.

N: How do you know these documents are up to date?
A: The document is on the web.

Thursday, October 23, 1997 - A.M.
Auditor: Auditor #4
(Documentation Repository)

Subject: Information Handling Service (IHS) industry standards service - how handled at MSFC

N: Give me a description of how you go about updating.
A: When an update is received from IHS in Receiving [in Documentation Repository], I pick it up from the distribution area and take it to the person whose name is on the envelope.

N: How do you know you have the most up to date list [of recipients]?
A: This is what is provided as customers and products.

N: What is OFC?
A: Office location.

N: Issue is version control. How do you know the latest?
A: IHS sends a list. I have a file.

N: I'm assessing document & data control. How you keep version control. Your process.
A: Provided workflow chart including the distribution process.

N: These are external documents. Re: control, how do you know what version is there?
Para. 4.5.2: More concerned with a master list. What is the latest standard in house?
Can you tell someone if they ask? I will document that there is no master list for external documents.

Date: October 23, 1997 - A.M.
Auditor: Auditor #4

LA10:

Q: What is your title?
A: Special assistant to manager – technology development & investment.

Q: What is the quality policy?
A: Quality products & services to our customers.

Q: How do you do that?
A: Try to ensure meeting between ISO and customer agreements & capture review process to ensure review process is appropriate.

Q: How do you accept contracts?
A: For customer agreements there are three things to do: propose, direct, and approve the contracts. Then they go to the center director. The lead organization reviews the contract through other organizations.

Q: Is this procedure documented?

A: PL 3.1 document. NPG document 71.3. Also customer agreements.

Q: Show me objective evidence of this.
A: PL 3.1 is still a draft. Example of this is a Space Act agreement. Otherwise, a request exists for Space Act agreements that is ISO compatible.

Q: What are the records of contract review/customer agreements?
A: Space act agreements. Different project offices have other types. PMC's. [*Looks at MQM*] Space Transportation project office, & Space Microgravity research office.

Q: What would constitute a quality record for contract review?
A: Customer requests, meeting minutes with project management, input from organizations, final response to customer.

Q: Are you familiar with the Space Transportation RA?
A: Yes.

Q: What other documents would apply?
A: Draft of CWI, OWI for this office.

Q: May I see your OWI?
A: Yes. [*Gets copy of OWI and shows to auditor*]

Q: Who is responsible for controlling this document?
A: I am.

Q: Can I see the Master List?
A: [*Gets master list and shows to auditor*]

Q: Who wrote the access database?
A: a local employee.

Q: Have people been trained on how to use the database or any other specialized training?
A: Developing an OJT activity now.

Q: Did you write this?
A: Had some help, yes.

EE61 (Chief Engineers, Space Transportation Systems)

Q: Quality Policy?

Q: ISO Management representative?
A: Schwinghamer

Q: Tell me about how X-33 agreement came about and changes that were made.
A: The one with Lockmart is fixed priced. Can work changes into the program. Money doesn't change.

Q: For the NASA portion, how did you determine whether resources were available for the job?
A: Lab chiefs went through their divisions and reviewed tasks.

Q: Do focal point folks follow any procedures?
A: The process is worked out at S & E.

Q: Was this process documented?
A: I don't know.

Q: How do changes in contracts come through?
A: X-33 task agreements and approval process.

Q: What would be a quality record to show that the task agreement has been properly reviewed? Where are they?
A: [*Gets another employee*]

A: By and large, either side can initiate a change request. Lockmart has the document for this. It's a Lockheed procedure, not a NASA procedure.

Q: Prior to accepting a contract, you must show contract review activities.
A: Task changes occur more at a working level. [*Shows MPG 7100.3 & CWI for 3.1 (draft)*]

Q: You have records of review activity after it has been signed?
A: Yes.

Q: Where are the records of review activity before signature?

Q: Where is the procedure for reviewing documents in the database?
A: [*Goes to computer. Gets document from web.*] Mod 17.5 is the last mod that contains task agreements. The document is not modifiable. Official copies of papers that go to IPT leads are kept.

Q: Where else are these records kept by NASA?
A: Part NASA process, part Lockmart process.

Q: Show me rev. 3.
A: Level 1 documents apply. [*Shows mod 7*] This has task agreement changes.

Q: How are the records backed up on the computer?
A: The server is backed up nightly automatically. I don't know if there is a documented process for this.

A: [*Shows sample task agreement*] This includes the cooperative agreement.
Q: Good. This is the objective evidence I wanted to see.

Q: These are quality records, right?
A: Yes. We keep these quality records. We maintain these records for Marshall TA's.

Q: Show me documents of contract review activity for doing work for a <u>customer</u>.
A: [*Other employees were referenced. None could produce any such documents. Apparently, there are few instances where NASA-MSFC is a formal contractor.*]

Procurement - Award Fees Secretarat

N: What do you do?
A: Pass Performance contract data collected every 6 months. Board members meet and determine score for strengths and weaknesses. Data is then input into the system.

N: How are weaknesses evaluated? 1 cycle. How are new items entered?
A: Award fee performance plan... Criteria contractor is...Coordinator will submit areas of infisis.

N: Is Pass performance database? (looking at the computer in the room)
A: Yes

N: Keep open issues in database?
A: All issues are kept in there.

N: How do you know open issues?
A: Person who submits it keeps that information.

N: Why do you keep it?
A: It is a quality record.
   COTR has quarterly reviews... inputs to contractor to solve problems before semi-annual review.

N: Award fee reviews suppliers quality system?
A: Yes, quality, technical, program management. Quality system under each element.

N: Are there corrective actions issued?
A: Project Management

N: Does procurement office issue corrective actions?
A: TRW AXAF spacecraft - review contractor systems and other areas. The information is passed on.

N: Data is collected and corrective action is pushed to another organization?
A: Contractors are audited, information is submitted to the board for corrective actions. S&MA Director is voting member on board and information will go to project manager. Contract Officer will issue letter to contractor if problems arise with the contractor.

N: Database is a quality record for acceptable subcontractors - do you have a procedure for database?
A: No

N: If you are not here for some reason, extended illness, etc., who can do the database job?
A: Supervisor can. CWI-04 describes system. OWI-08 tells where database is by office.

N: Specific instruction listing the quality record?
A: in OWI-08 (looking on computer to get document)
Shows award fee provisions, collecting and maintaining database (not detailed)
CWI-P06.1-C04 3.7 Secretarat

N: 16.1 describes documenting, indexing, accessing of database requirements for documenting this.
A: If someone has a need for data then they go to this office. (went through PEB process)
New computer system has quality record on computer. Can documentation or can training cover this?

N: If something shows objective evidence, quality record, you need to be able to access the database by procedure.

A: Written instruction?

N: Stating where the computer is and what the filename is of the database. If a person leaves the position a procedure is needed for accessing the database. Call the system something and list the filename somewhere for what the quality record is called.